

**CERTIFICATE OF PUBLIC CONVENIENCE AND NECESSITY - INITIAL OPERATIONS WITH TARIFF**

Filing Requirements Checklist

(Applicable Authority: 807 KAR 5:001, Section 8 and KRS 278.160, 807 KAR 5:011)

Case No. \_\_\_\_\_ Utility Name \_\_\_\_\_ Received Date \_\_\_\_\_ Form Circulation Date \_\_\_\_\_

Instructions:

- 1) Each Division noted by checkmark ( ) is to complete its review and pass on within two days of receipt.
- 2) This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued.
- 3) Staff member should use initials and list date review is completed.
- 4) Return to Docket Section following review by all Divisions.

Reviewed by Following Divisions:

	<u>Staff Member</u>	<u>Date</u>
_____ Filings Division	_____	_____
_____ Financial Analysis	_____	_____
_____ Engineering	_____	_____
_____ Legal	_____	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
<u>807 KAR 5:001:</u>							
Filings Division	Section 8(1)	Full name and post office address of applicant and a reference to the particular provision of law requiring Commission approval.	_____	_____	_____	_____	_____
Filings Division	Section 8(2)	The original and 10 copies of the application with an additional copy for any party named therein as an interested party.	_____	_____	_____	_____	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
Legal	Section 8(3)	If applicant is a corporation, a certified copy of the Articles of Incorporation and all amendments thereto <u>or</u> if the articles were filed with the PSC in a prior proceeding, a reference to the style and case number of the prior proceeding.	___	___	___	___	___
	<u>807 KAR 5:011</u>						
Financial Analysis	Section 3	1) Type not smaller than 6 point or typewritten on good quality paper.	___	___	___	___	___
Financial Analysis		2) Pages 8 1/2 x 11 in size.	___	___	___	___	___
Financial Analysis		3) Loose-leaf form using one side of the paper only, with not more than one schedule to a page.	___	___	___	___	___
Financial Analysis		4) Front cover page containing the following:					
Financial Analysis		a) Name of utility and location of principal office.	___	___	___	___	___
Financial Analysis		b) Statement of kind of service offered.	___	___	___	___	___
Financial Analysis		c) General statement of territory served.	___	___	___	___	___
Financial Analysis		d) Date of issue and date tariff is to become effective.					N/A unless tariff has an effective date.
Financial Analysis		e) Signature of the officer of the utility authorized to issue tariffs.					N/A
Financial Analysis		f) In the upper right hand corner, the Commission number of the tariff.	___	___	___	___	___

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>Met</u>	<u>Met</u>		<u>YES</u>	<u>NO</u>
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
	<u>807 KAR 5:011</u>						
Financial Analysis	Section 3	5) Second and succeeding pages containing:					
Financial Analysis		a) All the rules and regulations of the utility.	—	—	—	—	—
Financial Analysis		b) Rate schedules showing all rates and charges for the several classes of service.	—	—	—	—	—
Financial Analysis		c) Signature of the officer of the utility authorized to issue tariffs.	N/A				
Financial Analysis		d) Date of issue and date tariff is to become effective.	N/A unless tariff has an effective date.				
Financial Analysis		e) In the upper right hand corner, the Commission number of the tariff.	—	—	—	—	—
Financial Analysis		6) In that portion of the tariff dealing with rates, the following information under the following captions in the order listed:					
Financial Analysis		a) Applicable: show territory covered by tariff.	—	—	—	—	—
Financial Analysis		b) Availability of service: show classes of customers affected, such as domestic, commercial, etc.	—	—	—	—	—
Financial Analysis		c) Rates: a list of all rates covered by tariff.	—	—	—	—	—
Financial Analysis		d) Minimum charge: state amount of charge and quantity allowed.	—	—	—	—	—
Financial Analysis		e) Delayed payment charge: whether penalty or discount.	—	—	—	—	—
Financial Analysis		f) Term: if contracts are made for certain periods, length of term.	—	—	—	—	—

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
Financial Analysis		g) Special rules: any special rules and regulations in effect covering this tariff.	—	—	—	—	—
Financial Analysis	<u>807 KAR 5:011 Section 4</u>	Contents of rate schedules:					
Financial Analysis		1) Must state the city, town, village or district in which rates are applicable. If schedules applicable in a large number of communities, must be accompanied by an accurate index by which each community in which the rates are applicable may be readily ascertained, in which case reference must be made to the index sheet.	—	—	—	—	—
Financial Analysis		2) Rate schedule must state that class of service available under the rates stated therein.	—	—	—	—	—
Financial Analysis		3) For a tariff in which a number of schedules are shown for various uses, each schedule shall be identified by a number or by a group of letters, and if by a group of letters, the designation shall be indicative of the class of service for which the schedule is available.	—	—	—	—	—
Financial Analysis		4) Each page of the tariff shall bear the commission number of the tariff, the date issued and effective, the signature of the issuing officer, and in the upper right hand corner, a further designation, such as "Original Sheet No. 1," "Original Sheet No. 2," etc.	—	—	—	—	—
Financial Analysis		5) A statement as to whether a minimum charge is made, and if so, a listing of all such charges and a statement as to whether the minimum charge is subject to prompt payment discount or delayed payment penalty.	—	—	—	—	—

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u> <u>YES</u> <u>NO</u>	<u>Waiver Requested</u>	<u>Approve Waiver?</u> <u>YES</u> <u>NO</u>
Financial Analysis	Section 6	If tariff filing involves the furnishing of equipment or services to the customer by the utility, must have a description of the equipment or service. (Cost of service study waived by Administrative Case 323 for non-dominant.)	—   —	—	—   —